



# COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

## FINANCIAL INSTITUTIONS EXAMINER CRTFD

Job Number: 20000876

Job Code: 34380V161016

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 06/01/1989

Job Revised: 10/16/2016

Grade: 16 Salary (MIN - MID):

\$21,870-\$28,972 - Hourly

\$3,553.88-\$4,707.96 - 37.5 Hr. Monthly Salary

\$3,790.80-\$5,021.82 - 40 Hr. Monthly Salary

Special Entrance Rate:

**\$26,718 - Hourly**

**\$4,341.68 - 37.5 Hr. Monthly Salary**

**\$4,631.00 - 40 Hr. Monthly Salary**

### **PROBATIONARY PERIOD:**

This job has an initial and promotional probationary period of 6 months. For additional information refer to: <http://www.lrc.ky.gov/kar/101/001/325.htm>.

**CHARACTERISTICS OF THE JOB:** *Characteristics of a job are general statements indicating the level of responsibility and discretion of positions in that job classification. These are not intended to be an exhaustive list.*

Performs professional-level duties in the review, evaluation, and/or investigation of applications and in the examination, audit, compliance review, or investigation of financial institutions or securities entities. Serves as an examiner/investigator as the examiner-in-charge, or as a senior member of a state examination team in the state regulation and supervision of financial institutions and/or securities entities regardless of size or complexity. Prepares all or substantial portions of the examination or investigation or other official documentation. Presents major findings to appropriate person(s); and performs other duties as required.

### **MINIMUM REQUIREMENTS:**

#### **EDUCATION:**

Graduate of a college or university with a bachelor's degree in accounting, business administration, economics, finance, or juris doctorate.

#### **EXPERIENCE:**

Must have two years of experience as a financial institutions or securities entity examiner or as a licensed attorney with the financial services industry; or six years of professional experience as an officer, accountant, internal auditor, compliance officer, analyst, or related professional in a financial institution; or as a licensed securities broker, dealer, agent, or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries; or working for a financial institutions regulatory agency or securities industries regulatory agency.

#### **Substitute EDUCATION for EXPERIENCE:**

A masters degree in accounting, business administration, economics, finance or related fields will substitute for one year of the required experience.

#### **Substitute EXPERIENCE for EDUCATION:**

Experience as a financial institution or securities entity examiner, or professional experience working for a financial institutions regulatory agency or securities industries regulatory agency will substitute for the required education on a year-for-year basis. OR Two years of professional experience as an officer, accountant, analyst, internal auditor, compliance officer, or related professional in a financial institution; or as a licensed securities broker, dealer, agent, or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries will substitute for each year of the required education.

**SPECIAL REQUIREMENTS (AGE, LICENSURE, REGULATION, ETC.):**

Must successfully complete the Certified Financial Institutions Examiner process related to the assigned job functions as determined by the Department of Financial Institutions or have achieved a certified status with a federal regulatory agency. Successful completion of the Graduate School of Banking or Cannon Trust School will satisfy this requirement. Must possess a valid driver's license prior to appointment in this classification. Must maintain any required licensure(s), certification(s), or other credentials for the length of employment in this classification. Employing agency is responsible for ensuring employee possesses and maintains required licensure(s), certification(s) or other credentials.

**EXAMPLES OF DUTIES OR RESPONSIBILITIES OF THE JOB CLASSIFICATION:** *Examples of duties or responsibilities are not to be construed as describing what the duties or responsibilities of any position shall be and are not to be construed as limiting the appointing authority's ability to assign, or otherwise alter the duties and responsibilities of a position. This is not intended to be an exhaustive list.*

Performs routine tasks necessary to review and evaluate applications and registrations; or to conduct examinations, audits, reviews, investigations of a state-regulated financial institution or securities entity. Evaluates condition of the applicant, financial institution or securities entity. Applies examination and investigative processes in accordance with state and/or federal statutes, administrative regulations, and established departmental policies and procedures. Serves as examiner/investigator as examiner-in-charge, or as a senior member of a state team in the examination, audit, review, or investigation of a financial institution or securities entity. As examiner-in-charge, assigns tasks. Supervises completion of procurement and analysis of data. Prepares all or a substantial portion of an examination or investigation report or other written documentation detailing the examiner's or team's findings. As an investigator conducts interviews, collects and analyzes data, requests and serves subpoenas, marks, catalogues and stores evidence. Presents testimony. Develops documentation to support findings. Prepares correspondence and case reports. Trains less experienced examiners. Reviews work performed by other examiners assigned to the same institution or entity.

**UNIQUE PHYSICAL REQUIREMENTS:**

Must be able to lift and transport personal (laptop) computer, printer, adding machine/calculator, various books and manuals. May occasionally be required to lift file boxes in excess of twenty-five pounds.

**TYPICAL WORKING CONDITIONS:** *Incumbents in the job will typically perform their job duties under these conditions.*

Work is usually performed in the offices of the financial institution or securities entity being examined, reviewed, or investigated. Will require travel usually within a defined geographic "district". Travel outside one's district may be required periodically. Work may also be performed in the Department's central office or in one of its field offices.

**ADDITIONAL REQUIREMENTS:**

Upon appointment, employees in this class may be required to maintain a valid driver's license and required to drive a licensed vehicle. This status may be necessary for the length of time in this class. If this is necessary it will be listed in the specific position description for that position. Applicants and employees in this job title maybe required to submit to a drug screening test and background check. Applicants and employees in positions which perform job duties that may require contact with offenders in the custody or supervision of the Department of Corrections or with youth in the care, custody, or supervision of the Department of Juvenile Justice must meet qualifications pursuant to the federal Prison Rape Elimination Act, 28 C.F.R.115.17 and 115.317.

THE COMMONWEALTH OF KENTUCKY DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION OR GENDER IDENTITY, ANCESTRY, AGE, DISABILITY, POLITICAL AFFILIATION, GENETIC INFORMATION OR VETERAN STATUS IN ACCORDANCE WITH STATE AND FEDERAL LAWS.